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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/998,910	11/30/2001	Joan C. Teng	21756-011900	4169

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EXAMINER

BLAIR, DOUGLAS B

ART UNIT PAPER NUMBER

2142

DATE MAILED: 09/27/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

**Office Action Summary**

Application No.

09/998,910

Applicant(s)

TENG, JOAN C.

Examiner

Douglas B. Blair

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

**Period for Reply**

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☒ Responsive to communication(s) filed on 01 September 2006.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-46 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-46 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

**Attachment(s)**

- |   |   |
|---|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)  | 5) <input type="checkbox"/> Notice of Informal Patent Application                       |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)<br>Paper No(s)/Mail Date <u>9/1/06</u> . | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### ***Continued Examination Under 37 CFR 1.114***

1. A request for continued examination under 37 CFR 1.114, including the fee set forth in 37 CFR 1.17(e), was filed in this application after final rejection. Since this application is eligible for continued examination under 37 CFR 1.114, and the fee set forth in 37 CFR 1.17(e) has been timely paid, the finality of the previous Office action has been withdrawn pursuant to 37 CFR 1.114. Applicant's submission filed on 6/23/2006 has been entered.
2. Claims 1-46 are pending in this application.

### ***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

Claims 1-45 are rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent Number 6,968,503 to Chang et al. in view of 6,986,138 to Sakaguchi et al.

3. As to claim 1, Chang teaches an identity system, a method for defining workflow for managing entity identities, the method comprising the steps of: the identity system accessing a template that indicates parameters for defining workflows (col. 21-29 show xml templates for identities); creating a definition of a first workflow for managing at least one identity of at least one entity based on said template (col. 21-29, each patient identity is managed using the xml

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templates); and storing said definition of said first workflow (col. 21-29); however, Chang does not explicitly teach the workflow system controlling access management functionality.

Sakaguchi teaches an access management system comprising an identity system for managing identity profiles, and an access system for providing security of resources across one or more servers including an access management system accessing a template that includes parameters for defining workflows (col. 7, lines 31-48, col. 12, lines 61-67 and Figure 2).

It would have been obvious to one of ordinary skill in the Computer Networking art at the time of the invention to combine the teachings of Chang regarding a workflow system with the teachings of Sakaguchi regarding managing access in a workflow system because different users may require different levels of access to a workflow (Sakaguchi, col. 7, lines 31-48).

4. As to claim 2, Chang teaches a method according to claim 1, wherein: said template includes a set of parameters for each action available to a workflow type (col. 21-29, each template has parameters which define actions).

5. As to claim 3, Chang teaches a method according to claim 1, wherein the template is an XML document (col. 21-29).

6. As to claim 4, Sakaguchi teaches a method according to claim 1, further comprising adding data to said template after said step of storing; creating a definition of a second workflow after said step of adding data; and storing said definition of said second workflow (Figure 2).

7. As to claim 5, Chang teaches the method of claim 1 further comprising the step of creating said template (col. 7, lines 31-48, col. 12, lines 61-67 and Figure 2).

8. As to claim 6, Sakaguchi teaches the method of claim 5, wherein said step of creating said template includes the steps of: adding a set of workflow types to said template; adding one

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or more actions for at least a subset of said workflow types; and adding parameters for at least a subset of said actions (col. 7, lines 31-48, col. 12, lines 61-67 and Figure 2).

9. As to claim 7, Chang teaches a method according to claim 1, wherein said template applies to only one application (cols. 21-29).

10. As to claim 8, Chang teaches a method according to claim 1, wherein: said template includes parameters for creating objects, deleting objects and changing attributes (cols. 21-29).

11. As to claim 9, Chang teaches a method according to claim 1, wherein: said template includes parameters for self registration (cols. 21-29).

12. As to claim 10, Chang teaches a method according to claim 1, wherein: said template includes a parameter indicating whether supplied variables can be used in said step of creating (cols. 21-29).

13. As to claim 11, Sakaguchi teaches a method according to claim 1, wherein: said template includes a parameter indicating whether additional workflows can be used to supply data (col. 7, lines 31-48, col. 12, lines 61-67 and Figure 2).

14. As to claim 12, Sakaguchi teaches a method according to claim 1, wherein: said additional workflows includes multiple levels of nesting of workflows (col. 7, lines 31-48, col. 12, lines 61-67 and Figure 2).

15. As to claim 13, Sakaguchi teaches a method according to claim 1, wherein: the identity system is integrated with an access system (col. 7, lines 31-48, col. 12, lines 61-67 and Figure 2).

16. As to claim 14, Chang teaches a method according to claim 1, wherein said step of creating includes the step of: accessing one or more parameters in said template, offering a set of

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options based on said accessed parameters (cols. 21-29); and receiving a selection of one or more of said offered options (cols. 21-29).

17. As to claims 15-19, they are rejected for reasons pointed out below with regard to claim 20.

18. As to claim 20, Chang teaches a method according to claim 1, wherein said step of creating includes the steps of: determining a first set of possible actions for a particular step based on said template (cols. 21-29); reporting said first set of possible actions; receiving a selection of a first action of said first set of possible actions (cols. 21-29); determining a first set of possible data types for said first action based on said template (cols. 21-29); reporting said first set of possible data types; receiving an indication of a variable for said first workflow (cols. 21-29); receiving a selection of a first data type for said variable (cols. 21-29); determining whether pre or post actions are available for said first action based on said template (cols. 21-29); reporting whether pre or post actions are available for said first action (cols. 21-29); receiving a selection of whether to add pre or post actions to said definition of said first workflow for said first action (cols. 21-29); determining a first set of possible entry conditions for said first action based on said template (cols. 21-29); reporting said a first set of possible entry conditions (cols. 21-29); receiving a selection of a first entry condition of said a first set of possible entry conditions (cols. 21-29); determining and reporting whether said first entry condition is associated with a sub-workflow (cols. 21-29); and receiving an indication whether said first workflow should wait for said sub-workflow (cols. 21-29).

19. As to claim 21, Chang teaches a method according to claim 1, wherein said step of creating includes the steps of: accessing one or more parameters in said template (cols. 21-29);

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offering a set of options in a graphical user interface based on said accessed parameters (cols. 21-29); and receiving a selection of one or more of said offered options using said graphical user interface (Fig. 4).

20. As to claims 22-32, they feature limitations found in claims 1-21 and are rejected for the same reasoning presented above.

21. As to claims 33-39, they feature limitations found in claims 1-21 and are rejected for the same reasoning presented above.

22. As to claim 40, Chang teaches a method according to claim 1, wherein the workflow performs a task selected from the group consisting of: creating a user, deleting a user, subscribing a user to a group, enrolling a certificate, renewing a certificate, revoking a certificate, and changing a user attribute (col. 18, lines 50-67).

23. As to claim 41, Chang teaches a method according to claim 1, wherein the at least one entity is selected from among the group consisting of at least one user, at least one group and at least one organization (cols. 21-29).

24. As to claim 42, Chang teaches a method according to claim 1, further comprising: a workflow engine invoking the workflow (Fig. 2).

25. As to claim 43, Chang teaches a method according to claim 42, wherein the workflow comprises a set of actions comprising one or more actions, the method further comprising: a client program performing one of the one or more actions (Fig. 2).

26. As to claim 44, Chang teaches a method according to claim 43, the method further comprising: the workflow engine passing to the client program a callback handle uniform request locator ("callback URL"); the workflow engine pausing the workflow; upon completion of the

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one or more actions, the client program invoking the callback URL; and upon an invocation of the callback URL, the workflow engine restarting the workflow (col. 10, lines 15-64).

27. As to claim 45, Chang teaches a method according to claim 43, wherein performing the one of the one or more actions comprises: the client program composing an extended markup language ("CXML") document comprising a request for the one of the one or more actions (cols. 21-29); the client program transmitting the XML document for reception by an application (cols. 21-29); the application performing the one of the one or more actions (cols. 21-29); the application transmitting a second XML document for reception by the client program, the second XML document comprising an output message (cols. 21-29).

### ***Claim Rejections - 35 USC § 103***

28. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

29. Claim 46 is rejected under 35 U.S.C. 103(a) as being unpatentable over U.S. Patent Number 6,968,503 to Chang et al. in view of 6,986,138 to Sakaguchi et al. in further view of U.S. Patent Number 6,457,066 to Mein et al..

30. As to claim 46, the Chang-Sakaguchi combination teaches the method of claim 45; however, the Chang-Sakaguchi combination does not explicitly teach the use of SOAP.

Mein teaches the use of SOAP in the context of a workflow (col. 4, line 61-col. 5, line 50).



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It would have been obvious to one of ordinary skill in the Computer Networking art at the time of the invention to combine the teachings of the Chang-Sakaguchi combination regarding the implementation of workflows using XML templates with the teachings of Mein regarding the use of SOAP because SOAP enables better interaction with clients over the internet (Mein, col. 3, lines 3-27).

### ***Response to Arguments***

31. Applicant's arguments with respect to claims 1-46 have been considered but are moot in view of the new ground(s) of rejection.

### ***Conclusion***

32. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Douglas B. Blair whose telephone number is 571-272-3893. The examiner can normally be reached on 8:30am-5pm Mon-Fri.

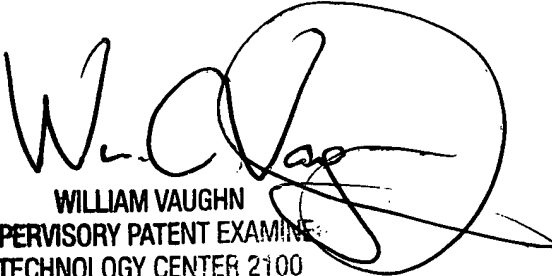
If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Andrew Caldwell can be reached on 571-272-3868. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Douglas Blair

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